

# **From Compliance to Alliance**

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**Using Principles of Recovery,  
Trauma-Responsive Care, and Procedural  
Justice to Improve Outcomes for  
Individuals with Co-Occurring Disorders**

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# FROM COMPLIANCE TO ALLIANCE

- ▶ **How can we get the best outcomes for clients?**
- ▶ **How can we gain greater compliance with treatment and criminal justice requirements?**
- ▶ **How can we retain more participants to completion?**



Recovery  
Model



Trauma  
Informed  
Practice

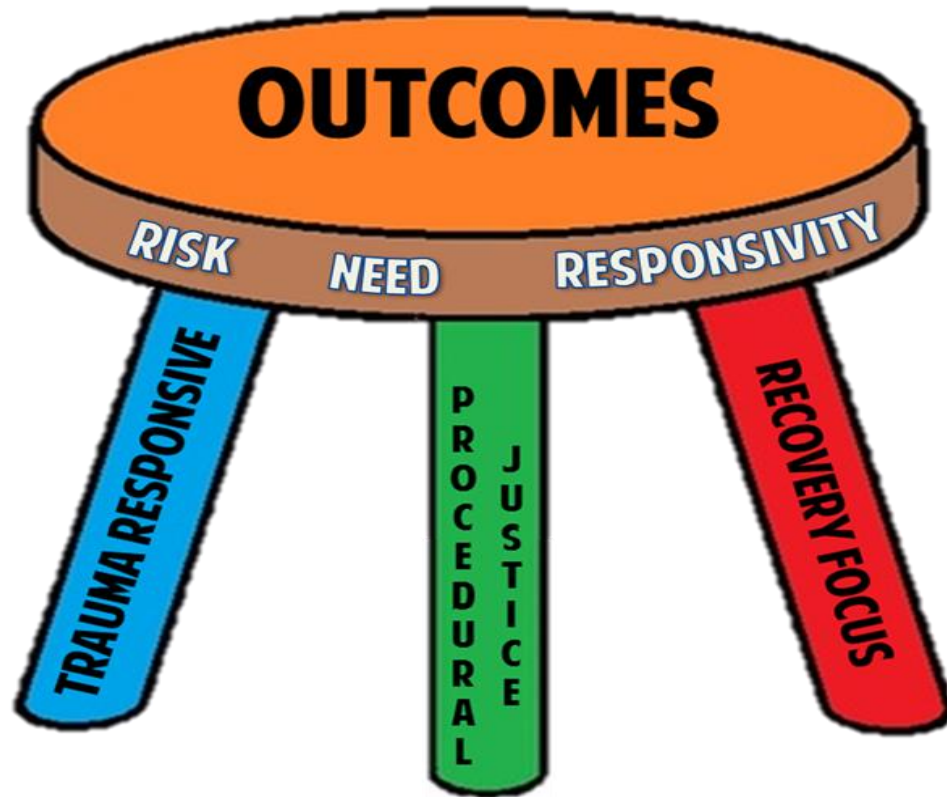


Procedural  
Justice

# FIVE KEY BASICS

- ▶ **ASSESSMENT** – Validated screening and assessment tools
- ▶ **TREATMENT PLANNING** – *Risk / Need/ Responsivity* principles
- ▶ **EVIDENCE-BASED INTERVENTIONS** – Manualized cognitive behavioral and other evidence based treatment
- ▶ **BEHAVIORAL APPROACHES** - Certain and consistent responses to behavior
- ▶ **COLLABORATION** – Buy-in and communication with key stakeholders

# IS THERE MORE ?



# UNPACKING THE BASICS

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- ▶ **Risk / Need / Responsivity (RNR)**  
**Includes**
- ▶ **Recovery Principles**
- ▶ **Trauma-informed Care Principles**
- ▶ **Procedural Justice Principles**

# Behavior Change Approaches

## ▶ **Behavior Management = Compliance**

Focus on what not to do

Short term change

Emphasizes punishment

Lasts as long as the monitoring (external)

## ▶ **Behavior Shaping = Alliance**

Focus on what to do

Long term change

Emphasizes rewards (external and intrinsic)

Results in internalized change

# COMPLIANCE vs ALLIANCE

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- ▶ **Rest your program on the stool**
- ▶ **Compliance is short term and dependent on monitoring**
- ▶ **Alliance leads to long-term and sustained change = Recovery**

# EXAMINING THE THREE LEGS

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## ▶ RECOVERY



# Recovery = SAMHSA Definition

- ▶ **A process of change through which individuals improve their health and wellness, live a self-directed [\*pro-social ] life, and strive to reach their full potential.**

**\* My amendment 😊**

# Dimensions of Recovery

- ▶ **Health:** overcoming or managing one's disease(s) or symptoms—for example, abstaining from use of alcohol, illicit drugs, and non-prescribed medications if one has an addiction problem—and for everyone in recovery, making informed, healthy choices that support physical and emotional wellbeing.
- ▶ **Home:** a stable and safe place to live;
- ▶ **Purpose:** meaningful [*prosocial*] daily activities, such as a job, school, volunteerism, family caretaking, or creative endeavors, and the independence, income and resources to participate in society; and
- ▶ **Community:** relationships and social networks that provide support, friendship, love, and hope.

# RECOVERY PRINCIPLES

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- ▶ **Self-direction**
- ▶ **Individualized and person-centered**
- ▶ **Empowerment**
- ▶ **Holistic**
- ▶ **Non-linear**
- ▶ **Culturally-based**
- ▶ **Strengths-based**
- ▶ **Peer support**
- ▶ **Relationships**
- ▶ **Family & Community**
- ▶ **Respect**
- ▶ **Responsibility**
- ▶ **Hope**

# IS THERE A CONFLICT BETWEEN RECOVERY & CRIMINAL JUSTICE ?

- ▶ “Individuals define their own life goals and design their unique paths toward those goals.”
- ▶ “Individuals optimize their autonomy and independence...by leading, controlling, and exercising choice over...services and supports...”
- ▶ “They are empowered and provided the resources to make informed decision, initiate recovery, build on their strengths, and gain or regain control over their lives.”
- ▶ “Recovery pathways...may include professional clinical treatment; use of medications; support from families and in schools; faith-based approaches; peer support; and other approaches.”

# EXAMINING THE THREE LEGS

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## ▶ TRAUMA-RESPONSIVE APPROACHES

# TRAUMA DEFINED - SAMHSA

- ▶ **Individual trauma results from an event, series of events, or set of circumstances experienced [\*or observed] by an individual as physically or emotionally harmful or life-threatening [\*which overcomes the individual's coping defenses] with lasting adverse effects on the individual's functioning and mental, physical, social, emotional, or spiritual well-being.**

**\* *My amendment* 😊**

# TRAUMA-RESPONSIVE CARE

## SAMHSA

- ▶ **“A program, organization, or system that is trauma-responsive:**
- ▶ ***Realizes* the widespread impact of trauma and understands potential paths for recovery;**
- ▶ ***Recognizes* the signs and symptoms of trauma in clients, families, staff, and others involved with the system;**
- ▶ ***Responds* by fully integrating knowledge about trauma into policies, procedures, and practices; and**
- ▶ **Seeks to actively resist *re-traumatization*.”**

# TRAUMA- RESPONSIVE CARE PRINCIPLES

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- ▶ **Safety**
- ▶ **Trustworthiness**
- ▶ **Transparency**
- ▶ **Peer Support**
- ▶ **Collaboration and Mutuality**
- ▶ **Empowerment, Voice & Choice**
- ▶ **Cultural, Historical and Gender Issues**



# EXAMINING THE THREE LEGS

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## ▶ Procedural Justice

# PROCEDURAL JUSTICE

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- ▶ ***Perceived* fairness and interpersonal interactions with clients**

# ELEMENTS OF PROCEDURAL JUSTICE

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- ▶ **Voice**
- ▶ **Neutrality / Transparency**
- ▶ **Respectful Treatment ( respect for person & for their rights)**
- ▶ **Trust (caring, helpfulness, and fairness)**

# THREE LEGS OF THE STOOL COMMONALITIES

## *Recovery Principles*

- ▶ Self-Direction
- ▶ Individualized
- ▶ Person Centered
- ▶ **Empowerment**
- ▶ Holistic
- ▶ Non-linear
- ▶ Strengths-based
- ▶ **Peer Support**
- ▶ **Respect**
- ▶ Responsibility
- ▶ Hope

## *Trauma-Responsive Principles*

- ▶ Safety
- ▶ **Trustworthiness**
- ▶ **Transparency**
- ▶ **Peer Support**
- ▶ Collaboration and Mutuality
- ▶ **Empowerment, Voice & Choice**
- ▶ Culture, History and Gender Issues

## *Procedural Justice Principles*

- ▶ **Voice**
- ▶ **Neutrality / Transparency**
- ▶ **Respect (for person & for rights)**
- ▶ **Trust (caring, helpfulness, fairness)**



# EMPOWERMENT

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- ▶ **Set and work on goals that are meaningful to them**
- ▶ **Identify and build on strengths**
- ▶ **Design and allow choices**
- ▶ **Teach skills for problem-solving**
- ▶ **Foster responsibility / accountability**
- ▶ **Use motivational interviewing**

# PEER SUPPORT

## Peer Support Specialists / Recovery Coaches

- ▶ **Peers share common, lived experience**
- ▶ **Peers foster hope**
- ▶ **Peers model resilience and recovery**
- ▶ **Peers provide encouragement**
- ▶ **Peers demonstrate skills**
- ▶ **Peers offer connection and friendship**
- ▶ **Peers help engagement in community**

# RESPECT

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- ▶ **Let them know they have been heard**
- ▶ **Let them know about their rights**
- ▶ **Provide for an appeal mechanism**
- ▶ **Understand the dynamics of dignity**
- ▶ **Elicit feedback, act on feedback, let them know the response to feedback**
- ▶ **Become aware of subtle acts of disrespect**
- ▶ **Be accountable for commitments**



# TRUST

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**Demonstrate the following attributes to develop trust:**

- ▶ **Benevolence**
- ▶ **Caring**
- ▶ **Sincere helpfulness**
- ▶ **Listening**
- ▶ **Explaining decisions**

# TRANSPARENCY & NEUTRALITY

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- ▶ **Apply policies and practices consistently**
- ▶ **Explain the basis for changes or deviations in decision**
- ▶ **Explain the process of making the decision**
- ▶ **Disclose the basis for decisions**
- ▶ **Demonstrate unbiased decision making**
- ▶ **Explore implicit biases**
- ▶ **Demystify staffing discussions**

# VOICE

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- ▶ **Let them tell their side of the story**
- ▶ **Elicit their “story” and their “experiences” particularly those that demonstrate strengths and resiliency**
- ▶ **Ask clients to tell what is going well and what is challenging**
- ▶ **Ask what help is needed**

# Where can you go from here?

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- ▶ **Stay abreast with the research**
- ▶ **Consider the treatment program environment**
- ▶ **Provide positive supervision**
- ▶ **Develop collaborative alliances**
- ▶ **Facilitate training for your staff**
- ▶ **Support the development and utilization of peer support models**
- ▶ **Understand “person-first”/ recovery language**

# Resources: Recovery

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[www.samhsa.gov/recovery](http://www.samhsa.gov/recovery)

Resilience Annotated Bibliography from

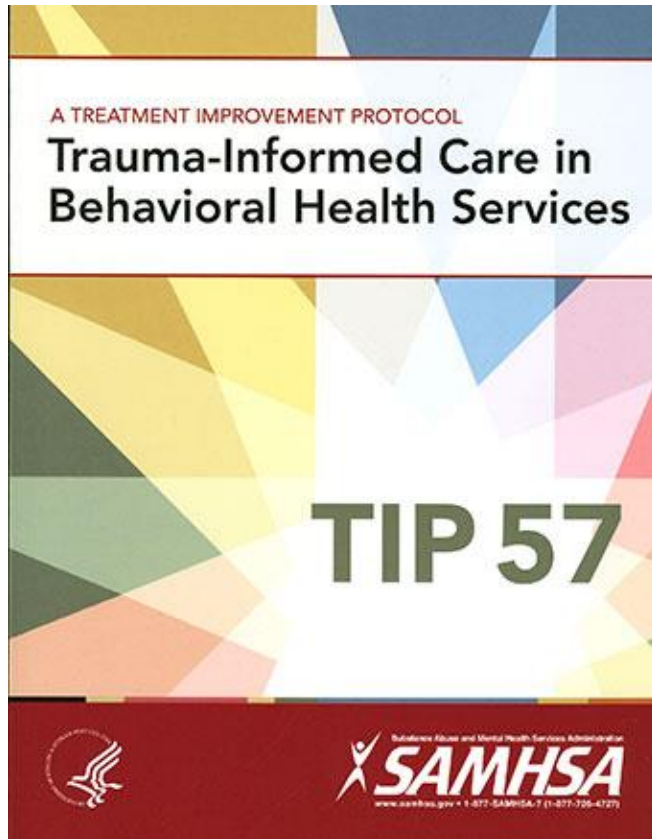
SAMHSA's Partners for Recovery Initiative

[www.samhsa.gov/recovery/peer-support-social-inclusion](http://www.samhsa.gov/recovery/peer-support-social-inclusion)

Action Plan for Prevention and Recovery

from [www.store.samhsa.gov](http://www.store.samhsa.gov)

# Resources: Trauma-informed Approaches



- ▶ National Center for Trauma-informed Care
- ▶ GAINS Center @ [www.samhsa.gov/gains-center](http://www.samhsa.gov/gains-center) provides Trauma Training for Criminal Justice Professionals

# Resources: Procedural Justice

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- ▶ **Center for Court Innovation – Resources on Procedural Justice / Procedural Fairness**
- ▶ **[www.proceduraljustice.org](http://www.proceduraljustice.org) - Includes an ongoing blog, a quarterly research report and on-line lectures**
- ▶ **Court Review: The Journal of the American Judges Association**
- ▶ **National Center for State Courts**

# Any Questions?

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